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DOCKET NO.: PUAS-0067

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Stephen R. Forrest

Confirmation No.: 2854

Application No.: 10/642,316

Group Art Unit: 2874

Filing Date: August 15, 2003

Examiner: Not Yet Assigned

For: TWIN WAVEGUIDE BASED DESIGN FOR PHOTONIC INTEGRATED CIRCUITS

EXPRESS MAIL LABEL NO: EV325643579US  
DATE OF DEPOSIT: April 30, 2004

EV325643579US

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or

before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached;  
or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith
- ☐ Copies of references listed on the attached Form PTO 1449 are not required to be submitted pursuant to the June 30, 2003 recent revisions to 37 CFR § 1.98(a)(2)(i).

## EXCEPT THAT:

- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☐ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
- ☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No. \_\_\_\_\_, filed \_\_\_\_\_.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

Enclosed is a copy of the Supplementary European Search Report dated February 6, 2004 (number 40 on Form PTO-1449) that has been received in connection with another application that is related by subject matter.

- ☐ The relevance of those listed references which are not in the English language is as follows:
- ☒ There are no listed references which are not in the English language.

Date:

4/30/04



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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. PUAS-0067	Application No. 10/642,316
	Applicant Stephen R. Forrest	
	Filing Date August 15, 2003	Group 2874
	Confirmation No. 2854	

**U. S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	44	5,078,516	01/07/92	Kapon, et al.	385	129

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO
	45	2 105 863 A	03/30/83	Great Britain		

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office		Docket No. PUAS-0067	Application No. 10/642,316
		Applicant Stephen R. Forrest	
		Filing Date August 15, 2003	Group 2874
		Confirmation No. 2854	
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	40	Copy of the Supplementary European Search Report dated February 6, 2004 (EP 01 93 5136)	
	41	Bauer, J.G., et al., "High responsivity integrated tapered waveguide PIN photodiode," <i>Proceedings fo the European Conference on Optical Communication (ECOC)</i> , September 12-16, 1993, Vol. 2, Conf. 19, 277-280	
	42	Saini, S.S., et al., "Compact low-loss vertical resonant mode coupling between two well-confined waveguides," <i>Electronics Letts.</i> , 1999, 35(14), 2 pages	
	43	Saini, S.S., et al., "Passive active resonant coupler (PARC) platform with mode expander," <i>IEEE Photonics Techn. Letts.</i> , 2000, 12(8), 1025-1027	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	